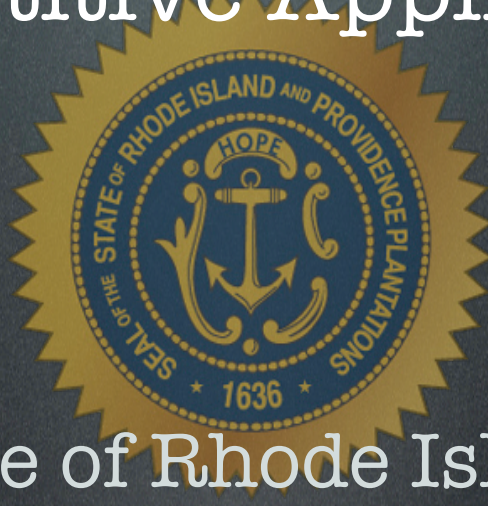


ARRA Energy Efficiency and Conservation Block Grant Program

# Energy Efficiency and Conservation Block Grants: Competitive Application



State of Rhode Island  
Office of Energy Resources

Funding Opportunity Announcement  
RIOER-003

**State of Rhode Island  
Office of Energy Resources**

**Energy Efficiency and Conservation Block Grants – Competitive Grants**

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This Application Package is composed of 3 parts. The first part (pp. 2-6) describes this funding opportunity. The second part (pp. 7-13) provides a narrative explaining how to fill out the application. The third part (pp. 14-19) is the application.

**State of Rhode Island  
Office of Energy Resources**

**Energy Efficiency and Conservation Block Grants – Competitive Grants**

The Rhode Island Office of Energy Resources (RIOER) is soliciting applications from cities and towns for funding for energy efficiency projects.

**Funding Source**

Funding for this program is available through a grant to Rhode Island from the federal Department of Energy's American Recovery and Reinvestment Act (ARRA) Energy Efficiency and Conservation Block Grant (EECBG). Information on the EECBG can be found at <http://www.eecbg.energy.gov/>. As this is an ARRA (stimulus) funded program, all applicable provisions and limitations on funds set forth in Public Law 111-05 shall be enforced. Further, this funding opportunity announcement is governed by the "Rules and Regulations for Energy Efficiency and Conservation Block Grants," a Rhode Island regulation with the ERLID Number of 5927. This document can be found at: <http://sos.ri.gov/documents/archives/regdocs/released/pdf/DOA/5927.pdf>.

**Funding Purposes**

The purposes of the program are the following and the fund shall be administered in a manner that accomplishes these purposes:

- (a) Strategy development and technical consultant services related thereto;
- (b) Building audits and retrofits;
- (c) Financial incentive programs;
- (d) Energy efficiency and conservation programs for buildings and facilities, including but not limited to retrocommissioning and energy performance contracting;
- (e) Development and implementation of transportation programs;
- (f) Building codes and enforcement;
- (g) Distributed generation technologies for energy efficiency, including combined heat and power systems and district heating and cooling;
- (h) Materials conservation including source reduction, recycling, and recycled content procurement;
- (i) Reduction and capture of methane and greenhouse gases;
- (j) Street lights and traffic signals;
- (k) Renewable energy technologies on government buildings; and/or
- (l) Any other activity consistent with the EECBG.
- (m) Compliance with the applicable requirements of the Recovery Act.

**Eligible Entities**

The 39 municipalities of the State of Rhode Island and combinations thereof are eligible to apply under this solicitation. Applications may include public facilities and services

including but not limited to school districts and regional school districts, public libraries, senior centers, water districts, sewer districts and fire districts that serve the residents of the municipality in any activity or project that could include a municipal department.

### **Funding Availability & Cost Sharing**

A total of \$2,988,706.78 is available through this announcement. Expected number of awards will vary, as funding requests may vary per application. Of this amount, \$1,666,011.60 is allocated to the 10 largest cities and towns in Rhode Island (allocation 1) and \$1,322,695.18 is allocated to the 29 smaller cities and towns (allocation 2).

Maximum funding per project shall not be greater than \$500,000. Cost sharing is encouraged.

In order to fully utilize the funds set forth above, or to maximize benefits, the OER may reduce or adjust the requested size of an award.

Multi-municipal applications must indicate each municipality participating in a joint municipal project in the *Project Description* in Section VII of this application. In the event that funds are allocated to facilities that serve multiple municipalities some of which are of the largest 10 municipalities in Rhode Island and others of which are of the smaller 29 municipalities, funds will be drawn allocations 1 and 2 on a pro-rated basis based on the populations of the municipalities involved as of the 2000 US Census.

### **Ineligible Projects and Costs**

Projects and costs that are ineligible under the Recovery Act SEP shall be ineligible for support from the Program and will include but not be limited to:

- (1) Projects that are wholly funded from Federal, State, RI Economic Development Corporation (hereafter referred to as Corporation) sources or by utility administered programs and projects that have, as of January 12, 2010, a contract to be funded or partially funded by Corporation programs, or any utility funded program;
- (2) Projects to be completed for casinos or other gambling establishments, aquariums, zoos, golf courses, or for swimming pools;
- (3) Outdoor and low-efficiency wood boilers. Low-efficiency wood boilers shall be defined as any boiler that does not meet or exceed a minimum thermal efficiency of 83 as measured by testing thermal efficiency using either the EN 303-5 or ASHRAE 155P methods, and using the lower heating value of wood. Wood boilers that use a fuel source other than wood pellets, wood chips, or firewood are not eligible under this announcement.
- (4) Projects that are construction of new facilities and new construction commissioning;
- (5) Power quality, power factor, and power conditioning improvements;
- (6) Personal computers and vehicles;
- (7) The Sub-Recipient's staff time for developing, designing, or implementing the project and in-kind services are not to be considered as cost-sharing;

- (8) Passive solar projects;
- (9) Projects that require the preparation of a Federal Environmental Impact Statement; only projects that are eligible for categorical exclusions or environmental assessments/finding of no significant impact shall be eligible; and;
- (10) Projects that lack assurances that they will be installed correctly and safely.

### **Compliance with the Recovery Act**

All entities and/or persons receiving funding from the Program shall comply with applicable Recovery Act requirements and guidance. No person shall receive funding for a project that is ineligible under the Recovery Act Energy Efficiency and Conservation Block Grant Program. **For a list of supplemental terms and conditions for contracts and Subawards funded in whole or in part by the American Recovery and Reinvestment Act of 2009, Pub. L. No. 111-05, please see Appendix A to regulation 5927, which may be found at:**

<http://sos.ri.gov/documents/archives/regdocs/released/pdf/DOA/5927.pdf>.

### **Duration of Awards**

The Program shall commence as of January 12, 2010 and conclude for the purposes of developing and supporting projects on March 31, 2012. However, project performance monitoring and reporting requirements shall continue as required by the Recovery Act. With the exception of performance monitoring and reporting requirements, all projects funded by this Program must be completed on or before March 31, 2012.

### **Funding Rounds**

There shall be a minimum of one funding round from the program:

- (a) The first funding round shall total \$2,988,706.78 with applications due by 5:00pm on **April 16, 2010**.

### **Coordination with Other Programs**

This Program shall be coordinated with other energy efficiency and renewable energy programs in Rhode Island, including but not limited to the Renewable Energy Development Fund, in order to optimize the benefits of renewable energy development in the state to accomplish the purposes set forth in Regulation 4.01 and consistent with the applicable Recovery Act requirements.

### **Evaluation Criteria**

Projects must meet a minimum threshold to be considered for funding. Beyond this threshold, projects will be ranked competitively. The threshold and competitive evaluation criteria are as follows:

- (a) Threshold Criteria. All applications shall, in order to be considered for funding,
- (i) Be complete and include all necessary assurances,
  - (ii) Demonstrate feasibility including technical feasibility and financial viability of the proposed activities, and
  - (iii) Meet or exceed the basic expectations of the Recovery Act for job creation, energy cost savings, and environmental benefits.
- (b) Competitive Criteria. For each project scale and type of energy efficiency measures, applications that meet all threshold criteria set forth in subsection (a) shall be ranked as follows:

1. Job creation/retention (40%)
  - Full-time (recorded by number of work-hours to complete a project)
  - Part-time (recorded by number of work-hours to complete a project)
2. Energy Savings (kwh equivalents) (30%)
  - Annual reduction in natural gas consumption (mmcf),
  - Annual reduction in electricity consumption (MWh),
  - Annual reduction in electricity demand (MW),
  - Annual reduction in fuel oil consumption (gallons),
  - Annual reduction in propane consumption (gallons), or
  - Annual reduction in gasoline and diesel fuel consumption (gallons).
3. Cost-Effectiveness Savings (10%)
  - Estimated energy produced over the life of the project/project costs and project operation and maintenance costs.
4. Funds Leveraged (20%)
  - Funds leverage from the owner of the project.
  - Funds leveraged from public sources other than the Program.
  - Funds leveraged from private sources, including charitable and philanthropic sources.

- (c) Bonus Criteria. To the competitive criteria set forth in subsection (b) above, there shall be added the following:

1. Benefits to low and moderate income households (up-to 5%).
2. Joint applications of two or more municipalities (up-to 5%).

- (d) A purpose of the competitive EECBG grant program is to enable cities and towns to participate in and support projects that have multi-municipal benefits. Joint applications by two or more cities and towns or applications by a city or town that include sub-state governmental entities that provide services to more than one city or town are encouraged.

### **Selection Process**

The project selection and award process shall be conducted in accordance with the applicable provisions of the Rhode Island General Laws §§27-2-1 *et. seq.* and the State of Rhode Island Procurement Regulations as last adopted in January of 2009.

### **Method of Disbursement of Funds**

The total amounts and types of disbursements from the Fund shall be at the sole discretion of the Office of Energy Resources subject only to the Office's application of the competitive and bonus criteria as set forth in this announcement. Allocation of funds will be made to cities and towns according to the limits set forth in the section **Funding Availability and Cost Sharing** listed above. The Office may disburse from the Fund in the form of grants, rebates, loans, recoverable grants and other financial mechanisms, with or without security, for repayment, if any, and at rates, terms and other conditions as shall be deemed necessary, appropriate and in the best interest of the Fund as determined by the Office. The disbursement of funds may be in installments based on the level of completion of the activities included in the application.

### **Repeat Funding and Maximum Funding Amount**

Sub-Recipients, affiliates of Sub-Recipients and individuals are ineligible for repeat funding for a project. No project shall receive more than Five Hundred Thousand Dollars (\$500,000) from the Fund.

### **Superseding Regulations**

This funding opportunity announcement is governed by the "Rules and Regulations for Energy Efficiency and Conservation Block Grants," a Rhode Island regulation with the ERLID Number of 5927, which supersedes any language found in the announcement. This regulation was posted with the Rhode Island Office of the Secretary of State on January 12, 2010. For a copy of this regulation, please see:  
<http://sos.ri.gov/documents/archives/regdocs/released/pdf/DOA/5927.pdf>.

**State of Rhode Island  
Office of Energy Resources**

**Energy Efficiency and Conservation Block Grants – Competitive Grant Instructions**

**Section I**

**Applicant Information**

The purpose of this section is to gather contact information of the Chief Executive Official applying for funds (hereafter referred to as applicant). In cases of joint applications, please select one Chief Executive Official for this section and list the rest in field number 20 below.

- 1. Municipal Applicant** - The name of the city or town applying for funding *as the lead municipal applicant*. Information on joint applications will be addressed in field 20 and section VII below.
- 2. Chief Exec. Official** – The name of the Chief Executive Official of the city or town applying for funding as the lead municipal applicant: the applicant.
- 3. Title** – The title of the applicant.
- 4. Address** – The mailing address of the applicant. The mailing address may be the street number and street name of the applicant, or a Post Office Box.
- 5. City/Town** – The city/town applying for strategic planning funds.
- 6. State** – The state corresponding to the mailing address of the applicant.
- 7. Zip Code** – The 5-digit Zip Code corresponding to the mailing address of the applicant.
- 8. Phone** – The primary phone number of the applicant to be used during business hours.
- 9. Fax** – The primary fax number of the applicant to be used during business hours.
- 10. E-Mail** – A valid working e-mail address for the applicant. Official correspondence may be sent by e-mail.

**Section II**

**Project Site Information**

The purpose of this section is to collect information about the physical location at which the project is to occur. The Office understands that entities and persons that apply for funding for projects to occur within the State of Rhode Island may have mailing addresses that differ from the project site location.

- 11. Facility Name** – The official name of the facility to which energy efficiency measures are to be performed.

- 12. Primary Project Contact** – The responsible officer overseeing the project, if different from the primary applicant.
- 13. Project Site Address** – The physical street number and name where the project is to occur. This section is required if it differs from the mailing address given above.
- 14. Project Site City** – The physical city/town in which the project is to occur.
- 15. Project Site State** – All projects must occur within the physical boundaries of the State of Rhode Island. Proposed projects outside of Rhode Island will not be considered for funding.
- 16. Project Site Zip Code** – The Zip code corresponding to the Project Site Address

### Section III

#### Energy Efficiency Application Information

The purpose of this section is to gather information on the energy efficiency measures and project for which the applicant is applying.

- 17. Facility Electrical Savings** – If the energy efficiency measures are intended to reduce electrical consumption, input the expected *annual* savings in Kilowatt-hours (kWh) per year here.
- 18. Facility Heat Savings** – If the energy efficiency measures are intended to reduce heat generation, input the *annual* savings in heat production in British Thermal Units (BTUs) here.
- 19. Annual Cost Savings** – Input the expected *annual* cost savings to a municipal, school, or other facility budget in United States Dollars (USD) here.
- 20. Joint Application Information** – If the project is to benefit or to be done jointly between two or more municipalities, please list the partnering municipalities and their respective Chief Executive Officials here. If this is not a joint application, the field may be left blank.
- 21. Is Amount Requested Over \$25,000** – Select Yes or No from the drop-down menu. This question applies only to the amount requested from this program, and not to total project cost.
- 22. Amount Requested** – Input the total amount requested in United States Dollars. This question applies only to the amount requested from this program, and not to the total project cost.
- 23. Total Cost of Project** – Input the total cost of the proposed project in United States Dollars. This means the sum of the amount requested and all other funds required to complete the project. For more information, see the section **Funding Availability & Cost Sharing** above.

**24. Projected Start Date** – Please enter the projected date on which the project will start. Enter the date in the following format: mm/dd/yyyy. The Fund shall not reimburse for projects already underway as of January 12, 2010. See the section **Duration of Awards** above for more information.

**25. Projected Completion Date** – Please enter the projected date on which the project will be completed. Enter the date in the following format: mm/dd/yyyy. This date may be no later than March 31, 2012. Please be advised that ARRA monitoring and reporting requirements may continue to apply after this date. See the section **Duration of Awards** above for more information.

## **Section IV**

### **Job Creation and Retention Information**

The purpose of this section is to gather job creation and retention data that is required for all awards under the American Recovery and Reinvestment Act. All fields in Section IV are required.

**26. Estimated # of Hours to Complete Project** – Enter the estimated number of work hours that will be created by funding this project.

**27. Job Duration (Weeks)** – Enter the estimated number of work weeks it will take to complete this project.

## **Section V**

### **Energy Efficiency Measure Life Information**

The purpose of this section is to gather information on the life expectancy, warranty, and maintenance cost of the proposed energy efficiency measures. All fields are required.

**28. Efficiency Measure Life Expectancy** – Input the life expectancy of the proposed energy efficiency measures in years.

**29. Estimated Maintenance Cost over Life Expectancy** – Input the estimated maintenance cost over the life expectancy of the proposed energy efficiency measures in United States Dollars.

## **Section VI**

### **Additional Applicant Information**

The purpose of this section is to gather additional applicant information that may trigger applicable laws or programs or that may trigger bonuses in the evaluation criteria. All fields in this section are required.

**30. Was the Property Built Before 1960?** – Select Yes or No from the drop down menu.

**31. Is this Property in a Historic District?** – Select Yes or No from the drop down menu.

**32. Is the Project Beneficiary LIHEAP Eligible?** – Select Yes or No from the drop-down menu. A LIHEAP beneficiary resides in a residential unit and earns an amount less than or equal to 60% of Rhode Island state median income. Income guidelines are as follows:

Family Size	12-Month Income	3-Month Income	1-Month Income
1	25,971	6,493	2,164
2	33,962	8,490	2,830
3	41,953	10,488	3,496
4	49,945	12,486	4,162
5	57,936	14,484	4,828
6	65,927	16,482	5,494
7	67,426	16,857	5,618
8	68,924	17,231	5,744
9	70,422	17,605	5,868
10	71,920	17,980	5,993
11	73,419	18,355	6,118
12	74,916	18,729	6,243

## Section VII

### Project Description

The purpose of this section is to obtain a project description of one page or less in a font no smaller than 11 point. The project description shall set forth:

- (1) The nature of the proposed project
- (2) The location of the project
- (3) The type or types of energy efficiency measures that are the subject of the proposed project
- (4) The energy savings of the proposed project (kWh equivalents) including, where applicable, the:
  - a. Annual reduction in natural gas consumption (mmcf),
  - b. Annual reduction in electricity consumption (MWh),
  - c. Annual reduction in electricity demand (MW),
  - d. Annual reduction in fuel oil consumption (gallons),
  - e. Annual reduction in propane consumption (gallons), or

- f. Annual reduction in gasoline and diesel fuel consumption (gallons).
- (5) How the proposed project addresses the program purposes set forth in the section **Funding Purposes** on page 2 of this funding opportunity announcement
- (6) The extent to which it is coordinated with other municipalities in Rhode Island, including the name of each city or town that approves of and would be a beneficiary to this project, and
- (7) The amount and sources of funds leveraged through this project.

## Section VIII

### Project Schedule

The purpose of this section is to obtain a complete schedule of all major activities associated with the execution of a project. A project schedule including all major activities from notice to proceed to project operation.

## Section IX

### Qualification Statement

The purpose of this section is to obtain a statement of qualifications assuring that the person or persons who will perform the proposed project have adequate experience and financial ability to execute the project. The qualification statement shall set forth:

- (1) The applicant's experience in energy efficiency projects of the kind of the proposed project. If the project involves a team of persons provide as **Supplementary Documentation** to the application the experience of key team members and an organization chart for the project team indicating the name of each team member, the team reporting structure and a narrative describing the responsibility of each team member.
- (2) Financial information demonstrating the capability of the person or team to complete the project successfully. Audited financial statements are not required for this application, but will be prior to the final award.
- (3) Other information, at the discretion of the proposer, that demonstrates the person's or team's ability to achieve the purposes set forth in the section **Funding Purposes** on page 2 of this funding opportunity announcement.

## Section X

### Project Assurances

The purpose of this section is to ensure compliance with applicable state and federal laws. Project assurances shall include:

- (1) Assurances that the project will comply with the applicable requirements and guidance of the Recovery Act
- (2) Assurances that the project will comply with applicable provisions of municipal comprehensive plans, zoning ordinances, the Building Code, and state agency rules and regulations
- (3) Assurances that the project will comply with applicable requirements for protection of historic resources as administered by the Rhode Island Historical Preservation and Heritage Commission pursuant to section 106 of the National Historic Preservation Act
- (4) Assurance that there will be an independent inspection of the project after its completion to determine its consistency with the project application and design and its operational capability to meet energy projection levels
- (5) Assurance that the project will be completed, verified and inspected on or before March 31, 2012, and
- (6) Assurance that the project meets the definition of an Energy Efficiency and Conservation Block Grant project.
- (7) Assurance that the project has the approval of each Chief Executive Official of each city and town listed as a beneficiary in the application.

By checking the box in the project application, the applicant agrees to provide all assurances listed above as well as to follow the Rules and Regulations for Energy Efficiency and Conservation Block Grants (ERLID Number 5927). **The applicant must also print and sign as assurance a physical copy of this application to be delivered to the Rhode Island Office of Energy Resources on or before April 16, 2010.**

## Section XI

### Supplementary Documentation

Supplementary documentation may be provided related to Sections VII-X of this funding opportunity announcement. A maximum of 10 pages of supplementary documents may be submitted with the paper application only (not electronically).

- (1) Supplementary documents are requested for **Section VII: Project Description** only if the complexity of the project merits additional pages to describe the energy efficiency measures to be taken.
- (2) Supplementary documents are requested for **Section VIII: Project Schedule** only if the complexity of the project merits additional pages for timelines and project schedules.
- (3) Supplementary documents are **required for Section IX: Qualification Statement** only in the event that a team of persons is involved in the project.
- (4) Supplementary documents are requested for **Section X: Project Assurances** only if additional documentation is deemed by the applicant to be valuable to the office in ensuring compliance with applicable state and federal laws.

## Section XII

### Submission Instructions

Applicants are **required** to submit the application in two (2) ways. These are:

- (1) By clicking the submit button on the application package and subsequently sending the email generated by clicking the submit button
- (2) By signing and mailing the physical application to:

Office of Energy Resources  
ATTN: Funding Notice RIOER-003  
One Capitol Hill  
Providence, RI 02908

Applicants other than for residential projects involving four dwelling units or less shall also provide their application, including supplementary documentation, in electronic format (CD-Rom, Diskette, or USB Flash Drive). Microsoft Word (.doc), Excel (.xls) or Adobe Acrobat (.pdf) format is preferable. Only one electronic copy is required. The CD/Diskette/Flash drive should be included in with the physical application and marked "original."

### Contact Information

Daniel T. Carrigg  
Chief, Program Development  
Rhode Island Office of Energy Resources  
401-574-9104  
[dcarrigg@energy.ri.gov](mailto:dcarrigg@energy.ri.gov)

**State of Rhode Island  
Office of Energy Resources**

**Energy Efficiency and Conservation Block Grant Strategic Planning Application**

**Section I: Applicant Information**

- 1. Municipal Applicant.....**
- 2. Chief Exec. Official.....**
- 3. Title.....**
- 4. Address.....**
- 5. City/Town.....**
- 6. State.....**
- 7. Zip Code.....**
- 8. Phone.....**
- 9. Fax.....**
- 10. E-Mail.....**

**Section II: Planning Administrator Information**

- 11. Facility Name.....**
- 12. Primary Project Contact.....**
- 13. Project Site Address.....**
- 14. Project Site City.....**
- 15. Project Site State.....**
- 16. Project Site Zip Code.....**

**Section III: Energy Efficiency Application Information****17. Facility Electrical Savings.....****18. Facility Heat Savings.....****19. Annual Cost Savings.....****20. Joint Application Information****21. Is Amount Requested Over \$25,000?.....****22. Amount Requested.....****23. Total Cost of Project.....****24. Projected Start Date.....****25. Projected Completion Date.....****Section IV: Job Creation and Retention Information****26. Estimated # of Hours to Complete Project.....****27. Job Duration (Weeks) .....****Section V: Energy Efficiency Measure Life Information****28. Efficiency Measure Life Expectancy.....****29. Estimated Maintenance Cost over Life Expectancy....****Section VI: Additional Applicant Information****30. Was the Property Built Before 1960?.....****31. Is this Property in a Historic District?.....****32. Is the Project Beneficiary LIHEAP Eligible?.....**

## **Section VII: Project Description**

## **Section VIII: Project Schedule**

## **Section IX: Qualification Statement**

**Section X: Project Assurances**

By checking this box, I agree to the following assurances:

- (1) Assurances that the project will comply with the applicable requirements and guidance of the Recovery Act
- (2) Assurances that the project will comply with applicable provisions of municipal comprehensive plans, zoning ordinances, the Building Code, and state agency rules and regulations
- (3) Assurances that the project will comply with applicable requirements for protection of historic resources as administered by the Rhode Island Historical Preservation and Heritage Commission pursuant to section 106 of the National Historic Preservation Act
- (4) Assurance that there will be an independent inspection of the project after its completion to determine its consistency with the project application and design and its operational capability to meet energy projection levels
- (5) Assurance that the project will be completed, verified and inspected on or before March 31, 2012, and
- (6) Assurance that the project meets the definition of an Energy Efficiency and Conservation Block Grant project.
- (7) Assurance that the project has the approval of each Chief Executive Official of each city and town listed as a beneficiary in the application.



**SIGN HERE**

Name

Date